

**The U.S. Department of Homeland Security (DHS)
Notice of Funding Opportunity (NOFO)
Fiscal Year (FY) 2017 Emergency Management Performance Grant (EMPG)**

NOTE: Eligible recipients who plan to apply for this funding opportunity but who have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), should take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM. New registration can take an average of 7-10 business days to process in SAM. SAM must send out some information for validation with outside parties before your registration can be activated; this includes Taxpayer Identification Number (TIN) validation with the Internal Revenue Service (IRS) and Commercial and Government Entity (CAGE) validation/assignment with the Department of Defense. This timeframe may be longer if the information you provide is flagged for manual validation by either party. If you notice your registration has had a ‘Submitted’ status for longer than 10 business days, and you have not otherwise been contacted to correct or update information, please contact the Federal Service Desk at 866-606-8220 or <https://www.fsd.gov>. Information on obtaining a DUNS number and registering in SAM is available from [Grants.gov](http://www.grants.gov) at: <http://www.grants.gov/web/grants/register.html>. Detailed information regarding DUNS and SAM is also provided in Section D of this NOFO, subsection, [Content and Form of Application Submission](#).

A. Program Description

Issued By

U.S. Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), Grant Programs Directorate (GPD)

Catalog of Federal Domestic Assistance (CFDA) Number

97.042

CFDA Title

Emergency Management Performance Grant (EMPG)

Notice of Funding Opportunity Title

Emergency Management Performance Grant

NOFO Number

Grant Program Title	NOFO Number
EMPG – Region I	DHS-17-GPD-042-01-01
EMPG – Region II	DHS-17-GPD-042-02-01
EMPG – Region III	DHS-17-GPD-042-03-01
EMPG – Region IV	DHS-17-GPD-042-04-01
EMPG – Region V	DHS-17-GPD-042-05-01
EMPG – Region VI	DHS-17-GPD-042-06-01

Grant Program Title	NOFO Number
EMPG – Region VII	DHS-17-GPD-042-07-01
EMPG – Region VIII	DHS-17-GPD-042-08-01
EMPG – Region IX	DHS-17-GPD-042-09-01
EMPG – Region X	DHS-17-GPD-042-10-01

Authorizing Authority for Program

Section 662 of the *Post-Katrina Emergency Management Reform Act of 2006* (PKEMRA), as amended, (Pub. L. No. 109-295) (6 U.S.C. § 762); the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended (Pub. L. No. 93-288) (42 U.S.C. §§ 5121 et seq.); the *Earthquake Hazards Reduction Act of 1977*, as amended (Pub. L. No. 95-124) (42 U.S.C. §§ 7701 et seq.); and the *National Flood Insurance Act of 1968*, as amended (Pub. L. No. 90-448) (42 U.S.C. §§ 4001 et seq.).

Appropriation Authority for Program

Department of Homeland Security Appropriations Act, 2017 (Pub. L. No. 115-31)

Program Type

New

Program Overview, Objectives, and Priorities

Overview

The purpose of EMPG is to provide Federal funds to states to assist state, local, territorial, and tribal governments in preparing for all hazards, as authorized by Section 662 of the *Post Katrina Emergency Management Reform Act* (6 U.S.C. § 762) and the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 U.S.C. §§ 5121 et seq.). Title VI of the *Stafford Act* authorizes DHS/FEMA to make grants for the purpose of providing a system of emergency preparedness for the protection of life and property in the United States from all hazards and to vest responsibility for emergency preparedness jointly in the Federal Government, states, and their political subdivisions. The Federal Government, through EMPG, provides direction, coordination, and guidance, and provides necessary assistance, as authorized in this title, to support a comprehensive all-hazards emergency preparedness system. The FY 2017 EMPG will provide Federal funds to assist state, local, tribal, and territorial emergency management agencies to obtain the resources required to support implementation of the National Preparedness System and the National Preparedness Goal (the Goal) of a secure and resilient Nation. Among the five basic homeland security missions noted in the DHS Quadrennial Homeland Security Review, EMPG supports the goal to Strengthen National Preparedness and Resilience.

Objectives

EMPG supports a comprehensive, all-hazards emergency preparedness system by building and sustaining the core capabilities contained in the Goal. EMPG funding is used to support a whole community approach to strengthen a state's or community's

emergency management program. Examples of EMPG funded activities include:

- Conducting risk assessments, assessing capabilities, identifying preparedness needs, and updating emergency plans;
- Building or augmenting core capabilities;
- Designing and conducting exercises that engage the whole community of stakeholders to validate core capabilities;
- Conducting emergency management training; and
- Providing funding support for emergency management personnel.

Priorities

The National Preparedness System is the instrument the Nation employs to build, sustain, and implement core capabilities to achieve the Goal of a secure and resilient Nation. Complex and far-reaching threats and hazards require a collaborative and a whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. The guidance, programs, processes, and systems that support each component of the National Preparedness System allow for the integration of preparedness efforts that build, sustain, and deliver core capabilities and achieve the desired outcomes identified in the Goal.

DHS encourages EMPG recipients and subrecipients to prioritize grant funding toward investments that address capability targets and gaps identified through the annual Threat and Hazard Identification and Risk Assessment (THIRA) and State Preparedness Report (SPR) process. Recipients and subrecipients should use grant funds to increase capability for high-priority core capabilities with low capability levels, validate capability levels, and maintain and/or sustain current capabilities. Additional information, including guidelines for completing the THIRA and SPR, can be found at: <https://www.fema.gov/media-library/assets/documents/26335> and <http://www.fema.gov/state-preparedness-report>.

DHS/FEMA annually publishes the annual National Preparedness Report (NPR) to evaluate progress in building, sustaining, and delivering the core capabilities outlined in the Goal. This analysis provides a national perspective on critical preparedness trends for whole community partners to use to inform program priorities, allocate resources, and communicate with stakeholders about issues of shared concern. The NPR can be found at <http://www.fema.gov/national-preparedness-report>.

In developing applications for the FY 2017 EMPG, recipients should consider funding projects that address core capability gaps within the NPR national areas for improvement as they relate to emergency management capabilities, including:

- Cybersecurity;
- Infrastructure Systems;
- Economic Recovery;

- Housing;
- Natural and Cultural Resources; and
- Supply Chain Integrity and Security.

Minimum funding amounts are not prescribed by DHS/FEMA for these priorities. However, recipients are expected to support state, local, regional, tribal, territorial, and national efforts to achieve the desired outcomes for these priorities. Grant funds should clearly support resources the recipients need to achieve the THIRA targets and close capability gaps identified in the SPR.

For additional details on priorities for EMPG, please refer to [Appendix A – FY 2017 EMPG Priorities](#).

B. Federal Award Information

Award Amounts, Important Dates, and Extensions

Available Funding for the EMPG:	\$350,100,000
Period of Performance:	Twenty four months (24 months)
Extensions to the period of performance are allowed. For additional information on period of performance extensions, refer to Section H of this NOFO.	
Projected Period of Performance Start Date(s):	October 1, 2016
Projected Period of Performance End Date(s):	September 30, 2018
Funding Instrument:	Grant

C. Eligibility Information

Eligible Applicants

State governments (State Administrative Agency (SAA) or the State’s Emergency Management Agency (EMA)).

Eligibility Criteria

All 56 states and territories, as well as the Republic of the Marshall Islands and the Federated States of Micronesia, are eligible to apply for FY 2017 EMPG funds. Either the SAA or the EMA is eligible to apply directly to FEMA for EMPG funds on behalf of each state or territory. However, only one application will be accepted from each state or territory.

Other Eligibility Criteria

Emergency Management Assistance Compact (EMAC) Membership

In support of the Goal, EMPG recipients must belong to, be located in, or act as an EMAC temporary member state, except for American Samoa, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Commonwealth of the Northern Mariana Islands, which are not currently required to belong to EMAC. All assets supported in part or entirely with FY 2017 EMPG funding must, where applicable, be readily deployable to support emergency or disaster operations, per existing EMAC agreements.

National Incident Management System (NIMS) Implementation

Prior to allocation of any Federal preparedness awards in FY 2017, recipients must ensure and maintain adoption and implementation of NIMS. FEMA describes the specific training and activities involved in NIMS implementation in the NIMS training program (<https://www.fema.gov/training-0>) and the NIMS Implementation Objectives (<https://www.fema.gov/implementation-guidance-and-reporting>).

Incident management activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies). Utilization of the standardized resource management concepts, such as typing, credentialing, and inventorying, promote a strong national mutual aid capability needed to support delivery of core capabilities. Recipients should manage resources purchased or supported with FEMA grant funding according to NIMS resource management guidance. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications is available under <http://www.fema.gov/resource-management-mutual-aid>.

Cost-Share or Match

A cost-match is required under this program.

The Federal share that is used towards the EMPG budget shall not exceed 50 percent of the total budget. The state must equally match (cash or in-kind) the Federal contribution pursuant to Sections 611(j) and 613 of the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Pub. L. No. 93-288), as amended, (42 U.S.C. §§ 5121et seq.). Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds.

FEMA administers cost-matching requirements in accordance with 2 C.F.R. § 200.306. To meet matching requirements, the recipient contributions must be verifiable, reasonable, allowable, allocable, and necessary under the grant program and must comply with all Federal requirements and regulations. In accordance with 48 U.S.C. § 1469a, match requirements are waived for the insular areas: the U.S. territories of American Samoa, Guam, the U.S. Virgin Islands, the Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, and the Republic of the Marshall Islands.

Content and Form of Application Submission

Applying for an award under this program is a multi-step process. To ensure that an application is submitted on time, applicants are advised to start the required steps well in advance of their submission. Failure to comply with any of the required steps before the deadline for submitting the application may disqualify the application from funding.

The steps involved in applying for an award under this program are:

1. Applying for, updating, or verifying their Data Universal Numbering System (DUNS) Number;
2. Applying for, updating, or verifying their Employer Identification Number (EIN);
3. Updating or verifying their System for Award Management (SAM) Registration;
4. Establishing an Authorized Organizational Representative (AOR) in Grants.gov;
5. Submitting an initial application in Grants.gov; and
6. Submitting the final application in the ND Grants System.

Each of the required steps associated with the application process are explained in the sections below.

Unique Entity Identifier and System for Award Management (SAM)

Before applying for a DHS grant at Grants.gov, applicants must have a DUNS number, be registered in SAM, and be approved as an AOR. The steps for completing these pre-application processes are outlined below.

NOTE: Applicants are encouraged to register early. The pre-application registration processes can take four weeks or more to complete. Therefore, registration should be done in sufficient time to ensure it does not impact the applicant's ability to meet required submission deadlines.

Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) Number

The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the SF-424 form in Grants.gov. Instructions for obtaining a DUNS number can be found at the following website:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>.

The applicant must provide a DUNS number with their application. This number is a required field for all subsequent steps in the application submission. Applicants should verify they have a DUNS number or take the steps necessary to obtain one. Applicants can receive a DUNS number at no cost by calling the DUNS number request line at (866) 705-5711. *DHS/FEMA cannot assist applicants with questions related to obtaining a current DUNS number.*

Obtain an Employer Identification Number (EIN)

DHS/FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and for grant award payment. Both the EIN and a DUNS number are required to register with SAM. The EIN base for an organization is the Internal Revenue Service (IRS) Tax ID number; for individuals, it is their Social Security number. The Social Security and IRS Tax ID numbers are both 9-digit numbers. Organizations and individuals submitting their applications must correctly identify the EIN from the DUNS, since both are 9-digit numbers. If these numbers are not correctly identified in the application, a delay in the issuance of the funding award and/or incorrect payment to a recipient organization may result.

Organizations [applying for an EIN](#) should plan on a minimum of two full weeks to obtain an EIN. For assistance registering an EIN, please contact the [IRS helpline](#). *DHS/FEMA cannot assist applicants with questions related to obtaining a current EIN.*

Register with the System for Award Management (SAM)

Applicants applying for grant funds electronically through [Grants.gov](#) must register with the Federal System for Award Management (SAM). Step-by-step instructions for registering with SAM can be found here: <http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. All applicants must register with SAM in order to apply online. Failure to register with the SAM will result in the application being rejected by [Grants.gov](#) during the submissions process.

Payment under any DHS/FEMA award is contingent on the recipient having a current [SAM](#) registration. The SAM registration process must be completed by the applicant. It is imperative that the information provided by the applicant is correct and current. Please ensure that the organization's name, address, DUNS number, and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used to apply for all other DHS/FEMA awards.

SAM registration is a multi-step process including validating the EIN with the IRS to obtain a Commercial and Government Entity (CAGE) code. The CAGE code is only valid for one year after issuance and must be current at the time of application.

SAM sends notifications to the registered user via email 60, 30, and 15 days prior to expiration of the SAM registration for the entity. SAM registration may lapse due to inactivity. To update or renew entity records(s) in SAM, applicants will need to create a SAM User Account and link it to the migrated entity records.

For assistance registering, please go to [SAM](#) or call 866-606-8220. *DHS/FEMA cannot assist applicants with questions related to registering in SAM or obtaining a current CAGE code.*

Authorized Organization Representative (AOR)

The next step in the registration process is creating a username and password with Grants.gov to become an AOR. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR. This step is often missed and it is crucial for valid submissions. To read more detailed instructions for creating a profile on Grants.gov, visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

AOR Authorization

After creating a profile on [Grants.gov](http://www.grants.gov), the E-Biz Point of Contact (E-Biz POC), a representative from the applicant organization who is the contact listed for SAM, will receive an email to grant the AOR permission to submit applications on behalf of the organization. The E-Biz POC will then log-in to [Grants.gov](http://www.grants.gov) and approve an applicant as the AOR, thereby granting permission to submit applications. To learn more about AOR Authorization, visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>. To track an AOR status, visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not jeopardize required submission deadlines. Approval as an AOR is necessary in order to submit applications online.

Electronic Signature

Applications submitted through Grants.gov constitute an electronically signed application. When submitting the application through Grants.gov, the name of the applicant's AOR will be inserted into the signature line of the application.

Applicants experiencing difficulties accessing information or who have any questions should call the [grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726 or email Grants.gov at support@grants.gov.

The Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements, and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

Submitting an Initial Application in Grants.gov

Following completion of the procedures above, all applicants must submit their initial application through [Grants.gov](http://www.grants.gov). Applicants may need to first create a [Grants.gov](http://www.grants.gov) user

profile by visiting the “Get Registered” section of the Grants.gov website. Successful completion of this step is necessary for DHS/FEMA to determine eligibility of the applicant. Applicants should complete this initial step online which requires completing:

- Standard Form 424 (SF-424), Application for Federal Assistance, and
- Grants.gov Certification Regarding Lobbying Form.

Both forms are available in the Forms tab under the SF-424 Family. The initial application cannot be started or submitted in Grants.gov unless the applicant’s registration in SAM is confirmed.

Application forms and instructions are available at Grants.gov by selecting *Apply for Grants*. Enter the CFDA number or the Opportunity ID Number noted in this NOFO, select *Download Application Package*, and follow the prompts to download the application package. The information submitted in Grants.gov will be retrieved by ND Grants, which will allow DHS/FEMA to determine if an applicant is eligible. **Applicants are encouraged to submit their initial application in Grants.gov at least 10 days before the June 22, 2017 5:00 PM (EDT) application deadline.**

For assistance applying through Grants.gov, please go to the [Grant Application page](#), contact support@grants.gov, or call 800-518-4726. DHS/FEMA *cannot assist applicants with questions related to registering with Grants.gov.*

Submitting the Final Application in Non Disaster Grants System (ND Grants)

After submitting the initial application in Grants.gov, eligible applicants will be notified by DHS/FEMA and asked to proceed with submitting their complete application package in [ND Grants](#). Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement. Early registration will allow applicants to have adequate time to start and complete their application.

In ND Grants, applicants will be prompted to submit all of the information contained in the following forms. Applicants should review these forms before applying to ensure they include all required information:

- Standard Form 424A, Budget Information (Non-construction);
- Standard Form 424B, Standard Assurances (Non-construction); and
- Standard Form LLL, Disclosure of Lobbying Activities (if the recipient has engaged or intends to engage in lobbying activities).

In addition, applicants must submit copies of the following in ND Grants:

- Program Work Plan (see [Appendix C – FY 2017 EMPG Work Plan](#));
- Indirect Cost Rate Agreement, if applicable.

Applicants must submit copies of the following in ND Grants, if applying for construction projects:

- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)

The forms can be found here: <http://www.fema.gov/preparedness-non-disaster-grants> and <http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>.

Intergovernmental Review

An intergovernmental review may be required. Applicants must contact their state's Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372 (see <http://www.fws.gov/policy/library/rgeo12372.pdf>). Name and addresses of the SPOCs are maintained at the Office of Management and Budget's home page at http://www.whitehouse.gov/omb/grants_spo to ensure currency.

Funding Restrictions

Federal funds made available through this award may be used only for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any other Federal award, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal Government or any other government entity.

EMPG recipients may only fund activities and projects that were included in the FY 2017 EMPG Work Plan that was submitted to and approved by FEMA. Activities and projects may include capability sustainment supported by previous EMPG funds provided the sustainment activity is cited in the FY 2017 Work Plan.

Additionally, DHS/FEMA has issued [Information Bulletin \(IB\) 407a](#), Use of Grant Funds for Controlled Equipment, which placed further restrictions on controlled equipment. For more information on the Controlled Equipment List and Prohibited Equipment, see Appendix B- Funding Guidelines.

Environmental Planning and Historic Preservation (EHP) Compliance

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grant funded projects, comply with Federal EHP regulations, laws and Executive Orders, as applicable. Recipients and subrecipients proposing projects that have the potential to impact the environment, including, but not limited to, construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the DHS/FEMA EHP review process. The EHP review process involves the submission of a detailed project description along with supporting documentation, so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, DHS/FEMA is also required to consult with other regulatory agencies and the public to complete the review process. The EHP review process must be completed and approved before funds are released to carry out the proposed project; otherwise, DHS/FEMA may not be able to fund the project due to non-compliance with EHP laws, executive orders, regulations, and policies.

Additionally, all recipients are required to comply with DHS/FEMA EHP Policy Guidance. The DHS/FEMA EHP Policy Guidance can be found in FP 108-023-1, [Environmental Planning and Historic Preservation Policy Guidance](#) and DHS/FEMA EHP Compliance and Reference Documentation at: <https://www.fema.gov/environmental-planning-and-historic-preservation-compliance>.

SAFECOM

Recipients (including subrecipients) who receive awards under EMPG that wholly or partially provide funding for emergency communication projects and related activities must comply with the most recent version of the [SAFECOM Guidance on Emergency Communications Grants](#). This guidance provides recommendations to recipients regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability. The guidance is intended to ensure that federally funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide.

Pre-award costs

Pre-award costs are allowable only with the prior written approval of DHS/FEMA and are included in the award agreement. To request pre-award costs, a written request must be included with the application and be signed by the Authorized Representative of the entity. The letter must outline what the pre-award costs are for, including a detailed budget break-out of pre-award costs from the post-award costs, and a justification for approval.

Cost Principles

Costs charged to this award must be consistent with the Cost Principles for Federal Awards located at 2 C.F.R. Part 200, Subpart E.

Direct Costs

Planning

Planning-related costs are allowed under this program only as described in this NOFO.

Organization

Organization costs are allowed under this program only as described in this NOFO.

Equipment

Equipment costs are allowed under this program only as described in this NOFO.

Training

Training related costs are allowed under this program only as described in this NOFO.

Exercises

Exercise related costs are allowed under this program only as described in this NOFO.

Travel

Domestic travel costs are allowed under this program, as provided for in this NOFO. International travel is not an allowable cost under this program unless approved in advance by FEMA.

Construction and Renovation

Construction and renovation costs are allowed under this program only as described in this NOFO.

Operational Overtime

Operational overtime costs are allowed under this program only as described in this NOFO.

Maintenance and Sustainment

Funding may be used to sustain programs that help achieve core capabilities that, while they may not be physically deployable, support national response capabilities, such as Geographic/Geospatial Information Systems (GIS), interoperable communications systems, capabilities as defined under the Response Mission Area of the Goal, and fusion centers.

For additional details on the use of funds, please refer to [Appendix B – FY 2017 EMPG Funding Guidelines](#).

Management and Administration (M&A) Costs

Management and Administration (M&A) activities are those directly related to managing and administering the award, such as financial management and monitoring. It should be noted that salaries of state and local emergency managers are not typically categorized as M&A, unless the state or local EMA chooses to assign personnel to specific M&A activities.

M&A costs are allowable for both state and local-level EMAs. The state EMA may use up to five percent (5%) of the EMPG award for M&A purposes. In addition, local EMAs may retain and use up to five percent (5%) of the amount received from the state for local M&A purposes. If the SAA is not the state-level EMA, the SAA is not eligible to retain funds for M&A.

Indirect (Facilities & Administrative [F&A]) Costs

Indirect costs are allowable under this program, as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated, indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant Federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant Federal agency) is required at the time of application, and must be provided to FEMA before indirect costs are charged to the award.

E. Application Review Information

Application Evaluation Criteria

Prior to making a Federal award, FEMA is required by 31 U.S.C. § 3321 and 41 U.S.C. § 2313 to review information available through any OMB-designated repositories of governmentwide eligibility qualification or financial integrity information. Application evaluation criteria may include the following risk-based considerations of the applicant: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing Federal awards; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.

FY 2017 EMPG applications will be evaluated for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Work Plan. The results from the review process may require applicants to revise submissions before the release of EMPG funding. There is a cost share for EMPG. Failure to note the match on the SF-424 at time of application may delay processing of the application

Grant recipients are expected to conform, as applicable, with accepted engineering practices, established codes, standards, modeling techniques, and best practices, and participate in the development of case studies demonstrating the effective use of grant funds, as requested.

Review and Selection Process

Initial Review

FEMA's Regional EMPG Managers conduct all pre-award reviews for EMPG grants. All EMPG Work Plans will require final approval by the appropriate FEMA regional office.

Funds for recipients who have not submitted their EMPG Work Plan as part of their application will not be released until such Work Plan is received, reviewed, and approved by FEMA. Recipients will be notified by their FEMA Regional Program Manager should any component of the EMPG application require additional information.

Overall Review

FEMA regions are responsible for reviewing submitted applications. Each FEMA Regional EMPG Manager reviews the FY 2017 EMPG Work Plans for their states/territories to assess their proposed EMPG investments against recognized emergency preparedness needs, including support for maintenance and sustainment of core capabilities and progress made toward implementing the National Preparedness System.

For additional details on application review information, please refer to [Appendix C – FY 2017 EMPG Work Plan](#).

Supplemental Financial Integrity Review

If the anticipated Federal award amount will be greater than the simplified acquisition threshold, currently \$150,000:

- Prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, DHS/FEMA is required to review and consider any information about the applicant in the [Federal Awardee Performance and Integrity Information System \(FAPIIS\)](#), which is also accessible through the [SAM](#) website.
- An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a Federal awarding agency previously entered.
- DHS/FEMA will consider any comments by the applicant, in addition to the FAPIIS information, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants, as described in 2 CFR §200.205.

F. Federal Award Administration Information

Notice of Award

Notification of award approval is made through the ND Grants System through an automatic email to the recipient's authorized official listed in the initial application. The "award date" for EMPG awards will be the date that FEMA approves the award. The recipient should follow the directions in the notification to confirm acceptance of the award.

Funds will remain on hold until the applicant accepts the award through ND Grants and all other conditions of award have been satisfied or the award is otherwise rescinded. Failure to accept the grant award within the 90-day timeframe may result in a loss of funds.

Recipients must accept their awards no later than 90 days from the award date. The recipient shall notify DHS/FEMA of its intent to accept and proceed with work under the award or provide a written notice of intent to decline. Instructions on accepting or declining an award in the ND Grants System are described in the ND Grants Grantee Training Manual, located here: <https://www.fema.gov/media-library/assets/documents/25949>.

Administrative and National Policy Requirements

All successful applicants for all DHS grants and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at: [DHS Standard Terms and Conditions](#).

The applicable DHS Standard Administrative Terms and Conditions will be those in effect at the time the award was made.

Before accepting the award, the AOR should carefully review the award package. The award package includes instructions on administering the grant award and the terms and conditions associated with responsibilities under Federal awards. The applicant must accept all conditions in this NOFO as well as any Special Terms and Conditions in the Notice of Award to receive an award under this program.

Obligation or Transfer to State EMA and Pass-Through Funding

Each state shall obligate 100 percent (100%) of its total EMPG allocation to the designated state-level EMA. If the SAA is also the EMA, this requirement is automatically met. If the SAA is a separate agency or has a separate budget process, then EMPG funds must be obligated to the EMA within 15 days of the grant award date.

In instances where the state EMA is making sub-awards to local jurisdictions, DHS/FEMA expects the state EMA to make these awards as expeditiously as possible.

Reporting

Recipients are required to submit various financial and programmatic reports as a condition of award acceptance. Future awards and fund drawdowns may be withheld if these reports are delinquent.

Federal Financial Reporting Requirements

Federal Financial Report (FFR)

Recipients must report obligations and expenditures on a quarterly basis through the FFR (SF-425) to DHS/FEMA. Recipients must file the FFR electronically using the [Payment and Reporting Systems \(PARS\)](#). An FFR must be submitted quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. The final FFR is due 90 days after the end of the performance period. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

The FFR is available online at:

<https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html - sortby=1>, SF-425 OMB #4040-0014.

Financial Reporting Periods and Due Dates

The following reporting periods and due dates apply for the FFR:

October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30

Reporting Period	Report Due Date
July 1 – September 30	October 30

Financial and Compliance Audit Report

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all Federal funding sources during the fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of U.S. Government Accountability Office’s (GAO) Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?node=sp2.1.200.f>.

Program Performance Reporting Requirements

Performance Progress Reports (PPR)

Recipients are responsible for providing updated performance reports to FEMA using a Microsoft Word (Word) document summary attached in ND Grants, and this must be done on a quarterly basis. As explained in the *Standardized Programmatic Reporting* section below, the Quarterly Performance Progress Reports must be based on the approved EMPG Work Plan and are due no later than 30 days after the end of the quarter (i.e., on January 30, April 30, July 30, and October 30). Recipients must complete the summary of activities and submit it as an attachment to the ND Grants system.

Recipients are required to report quarterly on progress toward completing activities and projects approved in their EMPG Work Plans, how expenditures support maintenance and sustainment of core capabilities, and progress made toward implementing the National Preparedness System. This includes reporting on the following information:

- List of completed training courses and exercises and the Training and Exercise Data Table (templates are available in [Appendix C – FY 2017 EMPG Work Plan](#)).
- Percent completion of the Training and Exercise Plan (TEP) outlined in the FY 2017 EMPG Work Plan (templates are available in [Appendix C – FY 2017 EMPG Work Plan](#)).

Programmatic Reporting Periods and Due Dates

The following reporting periods and due dates apply for the PPR:

Reporting Period	Report Due Date
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

Standardized Programmatic Reporting for EMPG

The EMPG Work Plan Template was modified to standardize data collection for improved analysis and reporting. The EMPG Work Plan includes five components: (1) Program and Budget Narrative, (2) Personnel Data Table, (3) Training Data Table, (4) Exercise Data Table, and (5) Grant Activities Outline. Baseline data on Personnel, Training, and Exercises, as well as the Grant Activities Outline, must be provided in the EMPG Work Plan at the time of application and will form the basis of the Quarterly Performance Progress Report Word document submissions. The Grant Activities Outline is structured to enable reporting of quarterly activities according to Emergency Management Function (EMF) projects, as well as standardized reporting of activity completion status.

The EMPG Work Plan must summarize program activities in the following areas:

- **Planning:** Planning efforts should span all five Goal mission areas. The EMPG Work Plan should provide a baseline for determining potential threats and hazards, required capabilities, and required resources. It should also establish a framework for roles and responsibilities. Planning efforts should demonstrate whole community engagement to create a strategic, operational, and/or community-based approach to preparedness.
- **Organization:** EMPG funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management, including staffing the State Hazard Mitigation Officer (SHMO) position, as well as Community Emergency Response Team (CERT) and Citizen Corps positions at the state and local levels in order to promote whole community engagement in all phases of emergency management and across the mission areas.
- **Equipment:** Allowable EMPG equipment categories are listed on the web-based version of the Authorized Equipment List (AEL), which is available at <https://www.fema.gov/authorized-equipment-list>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS/FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies

will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

- **Training:** EMPG funds may be used for a range of emergency management-related training activities to enhance the capabilities of state and local emergency management personnel, including establishing, supporting, conducting, and attending training deliveries. Training activities should align to a current, Multi-Year TEP developed through an annual Training and Exercise Plan Workshop (TEPW) and should reflect efforts to address training capabilities gaps identified through the THIRA/SPR processes.
- **Exercises:** Exercises conducted with grant funds should test and evaluate performance towards meeting capability targets established in a jurisdiction's THIRA for the core capabilities needed to address its greatest risks. Exercise priorities should align to a current, Multi-Year TEP developed through an annual TEPW.

For more details on the EMPG Work Plan, please refer to [Appendix C-FY 2017 EMPG Work Plan](#).

Additional Programmatic Reporting Requirements and Information

Biannual Strategy Implementation Report (BSIR)

In addition to the Quarterly Performance Progress Reports, recipients are responsible for completing and submitting a BSIR biannually. The BSIR is due within 30 days of the end of the reporting period. The summer BSIR is due July 30 for the January 1 through June 30 reporting period, and the winter BSIR is due on January 30 for the July 1 through December 31 reporting period. Updated obligations and expenditure information must be provided within the BSIR to show progress made toward meeting strategic goals and objectives as well as how expenditures support Planning, Organization, Equipment, Training and Exercise (POETE) activities. Accordingly, reports should include project-level details by subrecipient to explain how expenditures support gaps identified in the recipient's THIRA and SPR.

State Preparedness Report (SPR)

Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Pub. L. No. 109-295), 6 U.S.C. §752(c), requires any state that receives Federal preparedness assistance to submit an SPR (OMB Control Number: 1660-0131) to DHS/FEMA. States are required to submit an SPR by December 31 annually to satisfy this requirement to receive funding under the FY 2017 EMPG.

Threat and Hazard Identification and Risk Assessment (THIRA)

States and territories shall review, and, if necessary, revise and update the THIRA by December 31 of each year. Details on the THIRA as it relates to EMPG requirements can be found in [Appendix A – FY 2017 EMPG Priorities](#). For additional guidance on the THIRA, please refer to Comprehensive Preparedness

Guide (CPG) 201, Second Edition, available at <https://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

EMPG Emergency Operations Plan (EOP)

Recipients must update their EOP at least once every two years to comply with Comprehensive Preparedness Guide (CPG) 101v2, *Developing and Maintaining Emergency Operations Plans*. Recipients will use the Unified Reporting Tool (URT) to report their compliance with this reporting requirement.

Supplemental Information Reporting Systems

In addition to ND Grants, the following information systems are used for the submission of required reports:

Grant Reporting Tool (GRT): EMPG recipients will submit their BSIR information in the GRT. EMPG recipients are responsible for filing a biannual BSIR report in the GRT and should register to create an account as soon as possible. Recipients should go to the following link and follow the links to create a new account: <https://www.reporting.odp.dhs.gov/>. This report is used to track the progress toward the completion of projects.

Unified Reporting Tool (URT): The URT is DHS/FEMA's collection mechanism for THIRA/SPR, EOP compliance, and other related preparedness information. The FY 2017 URT includes questions related to NIMS adoption and implementation and CPG 101v2 compliance. DHS/FEMA will release additional guidance on the URT, including how and when to make updates, later in 2017.

Closeout Reporting Requirements

DHS/FEMA will closeout the grant award when all applicable administrative actions and all required work of the EMPG award are completed by the recipient. This section summarizes the actions that the recipient must take to complete the closeout process in accordance with 2 C.F.R. § 200.343 at the end of the grant's original period of performance or amended period of performance as specified in an approved Grant Adjustment Notice (GAN).

Within 90 days of the end of the period of performance, or after expiration of a GAN, recipients must submit:

1. Final FFR (SF-425)
2. Final PPR including final Activity Outline Report from the Work Plan
3. Final request for payment, if applicable
4. A qualitative summary of the impact of accomplishments throughout the entire period of performance submitted to the respective Regional Program Manager
5. Other documents required by program guidance or terms and conditions of the award

If applicable, an inventory of all construction projects that used funds from this program will be reported using the [Real Property Status Report \(SF-429\)](#).

Additionally, the recipient must liquidate all obligations incurred under the EMPG award no later than 90 calendar days after the end date of the period of performance or expiration of a GAN that closes out the award, whichever comes first. If a recipient fails to liquidate their obligations within this time period, DHS/FEMA may disallow the costs associated with those unliquidated obligations. Recipients are also responsible for promptly returning the balance of any funds that have been drawn down, but remain unliquidated, to DHS/FEMA.

After final reports have been reviewed and approved by DHS/FEMA, a closeout notice will be completed. The notice will indicate the period of performance is closed, list any remaining funds the recipient has not drawn down that will be deobligated, address requirements for record retention, and explain disposition and reporting requirements for any equipment or real property purchased using EMPG funds.

In addition, any EMPG recipient that issues subgrants to any subrecipients is responsible for closing out those subgrants as described in 2 C.F.R. § 200.343. EMPG recipients must ensure that they complete the closeout of their subgrants in time to submit all necessary documentation and information to FEMA during the closeout of their own grant award.

G. DHS Awarding Agency Contact Information

Contact and Resource Information

Centralized Scheduling and Information Desk (CSID)

CSID is a non-emergency comprehensive management and information resource developed by DHS/FEMA for grants stakeholders. CSID provides general information on all DHS/FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, state, and local levels. When necessary, recipients will be directed to a Federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by email at ASKCsid@fema.gov, Monday through Friday, 9:00 a.m. – 5:00 p.m. EDT.

DHS/FEMA/GPD Grant Operations Division

GPD's Grant Operations Division Business Office provides support regarding financial matters and budgetary technical assistance. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via email to ASK-GMD@dhs.gov.

FEMA Regional Offices

FEMA Regional offices manage, administer, and conduct the application budget review, create the award package, approve, amend, and close out awards, as well as conduct cash analysis, financial and programmatic monitoring, and audit resolution for the EMPG. The Regions also provide technical assistance to EMPG awardees. FEMA Regional Office contact information is available at:

https://www.fema.gov/pdf/floodplain/nfip_sg_appendix_a.pdf.

GPD Environmental Planning and Historic Preservation (GPD EHP)

The DHS/FEMA GPD EHP Team provides guidance and information about the EHP review process to recipients and subrecipients. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to gpdehpinfo@fema.gov. EHP Technical Assistance, including the EHP Screening Form, can be found at:

<https://www.fema.gov/environmental-planning-and-historic-preservation-compliance>.

Systems Information

Grants.gov: For technical assistance with Grants.gov, please call the [Grants.gov](https://www.grants.gov) customer support hotline at (800) 518-4726.

ND Grants System: For technical assistance with the ND Grants System, please contact ndgrants@fema.gov or (800) 865-4076.

H. Additional Information

National Preparedness

DHS coordinates with local, state, territorial, and tribal governments as well as with other Federal agencies and private and nonprofit organizations to facilitate a whole community, risk driven, and capabilities-based approach to preparedness. This approach is grounded in the identification and assessment of risk through the THIRA. States and territories should review, and, if necessary, revise and update the THIRA on an annual basis, to ensure that the community's shared understanding of risk evolves to account for changes in the risk landscape, including successful mitigation efforts, emerging threats, hazards, and associated consequences. Information on the National Preparedness System can be found at <http://www.fema.gov/national-preparedness-system>. Additional details regarding the National Preparedness System and how it is supported by the EMPG can be found in [Appendix A – FY 2017 EMPG Priorities](#).

Active Shooter Preparedness

DHS aims to enhance national preparedness through a whole community approach by providing the necessary products, tools, and resources to help all stakeholders prepare for and respond to an active shooter incident. To that end, DHS has developed a comprehensive "Active Shooter Preparedness" website, which includes a variety of informational resources. The website address is: <https://www.dhs.gov/active-shooter-preparedness>.

In addition, within the Homeland Security Information Network (HSIN), the Joint DHS and FBI Countering Violent Extremism (CVE) and Active Shooter Web Portal provides a restricted-access forum to share Unclassified For Official Use Only (FOUO), Sensitive but Unclassified (SBU), and Law Enforcement Sensitive (LES) Information. The portal provides users and training practitioners with accurate, appropriate, and relevant CVE and Active Shooter training development resources, subject matter expert information, and outreach initiatives. It also has forums to provide feedback, products useful to

others, and allows participants to ask questions concerning CVE or the Active Shooter Program. Persons with a job-related duty, public service interest, or who support a CVE and/or Active Shooter program can request access into this Portal. Additional information can be found on the DHS website at: <https://www.dhs.gov/cveas-portal#>.

States, territories, and Urban Areas are encouraged to review the referenced active shooter guidance, evaluate their preparedness needs in conjunction with, or supplemental to, their THIRA and SPR processes, and to utilize preparedness grant funds as necessary to address any capability gaps identified in this area.

Payments

DHS/FEMA uses the DHS/FEMA [Payment and Reporting System \(PARS\)](#) for financial reporting, invoicing, and tracking payments.

Monitoring and Evaluation

EMPG recipients will be monitored programmatically and financially biannually and as needed by DHS/FEMA staff to ensure that activities, project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

Monitoring may be accomplished through either a desk-based review, onsite monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions, and other support that may be needed.

As part of its grant oversight responsibility, DHS/FEMA is conducting a series of grant effectiveness case studies jointly with grant recipients to highlight how states and urban areas have used Federal grants to improve preparedness. The purpose of the project is to better understand the factors that jurisdictions consider when determining which grant projects to fund, understand how jurisdictions measure grant effectiveness, and document key findings and success stories that will help both grant recipients and DHS/FEMA more effectively communicate the importance of Federal grant programs to policymakers and the public. Although not mandatory, grantees are encouraged to participate given the mutual benefits to be gained from this collaborative effort.

Conflict of Interest

To eliminate and reduce the impact of conflicts of interest in the sub-award process, recipients and pass-through entities must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making sub-awards. Recipients and pass-through entities also are required to follow any applicable state, local, or tribal statutes or regulations governing conflicts of interest in the making of sub-awards.

The recipient or pass-through entity must disclose to DHS/FEMA, in writing, any real or potential conflict of interest as defined by the Federal, state, local, or tribal statutes or

regulations or their own existing policies that may arise during the administration of the Federal award. Recipients and pass-through entities must disclose any real or potential conflicts to their Regional EMPG Manager within five days of learning of the conflict of interest. Similarly, subrecipients must disclose any real or potential conflict of interest to the pass-through entity as required by the recipient's conflict of interest policies, or any applicable state, local, or tribal statutes or regulations.

Conflicts of interest may arise during the process of DHS/FEMA making a Federal award in situations where an employee, officer, or agent, any members of his or her immediate family, or his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an applicant, subapplicant, recipient, subrecipient, or DHS/FEMA employee.

Extensions

Extensions to this program are allowed. Extensions to the initial period of performance identified in the award will only be considered through formal, written requests to the recipient's Regional EMPG Analyst, and must contain specific and compelling justifications as to why an extension is required. EMPG recipients are advised to coordinate with the Regional EMPG Analyst, as needed, when preparing an extension request. All extension requests must address the following:

1. Grant program, fiscal year, and award number
2. Reason for delay that must include details of the legal, policy, or operational challenges that prevent the final outlay of awarded funds by the applicable deadline
3. Current status of the activity/activities
4. Approved period of performance termination date and new project completion date
5. Amount of funds drawn down to date
6. Remaining available funds, both Federal and non-Federal
7. Budget outlining how remaining Federal and non-Federal funds will be expended
8. Plan for completion, including milestones and timeframes for achieving each milestone, and the position/person responsible for implementing the plan for completion
9. Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work, as described in the investment justification and approved by DHS/FEMA

Extension requests will be granted only due to compelling legal, policy, or operational challenges. Extension requests will only be considered for the following reasons:

- Contractual commitments by the grant recipient with vendors or sub-recipients prevent completion of the project within the existing period of performance
- The project must undergo a complex environmental review that cannot be completed within existing period of performance

- Projects are long-term by design and therefore acceleration would compromise core programmatic goals
- Where other special circumstances exist

Recipients must submit all proposed extension requests to DHS/FEMA for review and approval no later than 120 days prior to the end of the period of performance. In accordance with GPD policy, extensions are typically granted for no more than a six-month time period.

FY 2017 EMPG Allocations

Emergency Management Performance Grant (EMPG) awards are based on Section 662 of the *Post-Katrina Emergency Management Reform Act of 2006*, as amended, (6 U.S.C. § 762). All 50 states, the District of Columbia, and Puerto Rico receive a base amount of 0.75 percent of the total available funding appropriated for the EMPG. Four territories (American Samoa, Guam, Commonwealth of the Northern Mariana Islands, and the U.S. Virgin Islands) receive a base amount of 0.25 percent of the total available funding appropriated for the EMPG. The balance of the funds appropriated for the EMPG funds are distributed on a population-share basis. Pursuant to Article X of the Federal Programs and Services Agreement of the *Compact of Free Association Act* (Pub. L. No. 108-188), a set amount of funds (\$100,000 total) are also available from the Disaster Relief Fund for the Federated States of Micronesia and for the Republic of the Marshall Islands.

State/Territory	Allocation	State/Territory	Allocation
Alabama	\$5,749,059	New Hampshire	\$3,482,438
Alaska	\$3,101,574	New Jersey	\$8,370,698
Arizona	\$7,077,342	New Mexico	\$3,961,791
Arkansas	\$4,544,574	New York	\$15,308,867
California	\$27,838,209	North Carolina	\$9,143,036
Colorado	\$6,184,104	North Dakota	\$3,111,889
Connecticut	\$4,922,421	Ohio	\$10,085,775
Delaware	\$3,236,582	Oklahoma	\$5,145,395
District of Columbia	\$3,062,566	Oregon	\$5,254,537
Florida	\$15,865,902	Pennsylvania	\$10,837,260
Georgia	\$9,248,118	Rhode Island	\$3,303,621
Hawaii	\$3,542,668	South Carolina	\$5,811,896
Idaho	\$3,706,206	South Dakota	\$3,180,945
Illinois	\$10,848,380	Tennessee	\$6,897,557
Indiana	\$6,885,903	Texas	\$20,523,217
Iowa	\$4,638,646	Utah	\$4,585,024
Kansas	\$4,492,568	Vermont	\$3,026,223
Kentucky	\$5,475,198	Virginia	\$8,028,530
Louisiana	\$5,632,382	Washington	\$7,306,624
Maine	\$3,480,308	West Virginia	\$3,801,253
Maryland	\$6,489,811	Wisconsin	\$6,337,094
Massachusetts	\$7,000,712	Wyoming	\$3,001,111
Michigan	\$9,002,685	Puerto Rico	\$4,816,336
Minnesota	\$6,170,876	U.S. Virgin Islands	\$941,133
Mississippi	\$4,544,881	American Samoa	\$909,813
Missouri	\$6,538,987	Guam	\$979,541
Montana	\$3,294,688	Northern Mariana Islands	\$909,346
Nebraska	\$3,850,082	Republic of the Marshall Islands	\$50,000
Nevada	\$4,513,618	Federated States of Micronesia	\$50,000
Total			\$350,100,000

Appendix A - FY 2017 EMPG Priorities

Alignment of EMPG to the National Preparedness System

The Nation uses the National Preparedness System to build, sustain, and deliver core capabilities in order to achieve the [National Preparedness Goal](#) (the Goal) of “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” The objective of the National Preparedness System is to facilitate an integrated, whole community, risk-informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the National Preparedness System enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole community>).

Recipients will use the components of the National Preparedness System to support building, sustaining, and delivering core capabilities. The components of the National Preparedness System are: Identifying and Assessing Risk; Estimating Capability Requirements; Building and Sustaining Capabilities; Planning to Deliver Capabilities; Validating Capabilities; and Reviewing and Updating. Additional information on the National Preparedness System is available at <http://www.fema.gov/national-preparedness-system>.

The FY 2017 EMPG contributes to the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks for each of the five mission areas outlined in the Goal. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The EMPG’s allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas described in the Goal.

In addition, DHS/FEMA encourages recipients to prioritize grant funding to address capability gaps identified through the THIRA and SPR processes. These assessments identify the jurisdiction’s capability targets, current ability to meet those targets, and capability gaps. Recipients should prioritize grant funds to increase capability for those capabilities they rate as high-priority core capabilities with low capability levels. Minimum funding amounts are not prescribed by DHS/FEMA for these priorities; however recipients are expected to support state, local, regional, and national efforts in achieving the desired outcomes of these priorities.

Emphasis is placed on capabilities that address the greatest risks to the security and resilience of the United States and the greatest risks along the Nation’s borders. When applicable, funding should support deployable assets that can be used anywhere in the Nation through automatic assistance and mutual aid agreements, including, but not limited to, the Emergency Management Assistance Compact (EMAC).

The FY 2017 EMPG supports investments that improve the ability of jurisdictions nationwide to:

- Prevent a threatened or an actual act of terrorism;
- Protect our citizens, residents, visitors, and assets against the greatest threats and hazards;

- Mitigate the loss of life and property by lessening the impact of future disasters;
- Respond quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident; and/or
- Recover through a focus on the timely restoration, strengthening, and revitalization of infrastructure, housing, and a sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident.

The core capabilities contained in the Goal are highly interdependent and require the use of existing preparedness networks and activities to improve training and exercise programs, innovation, and appropriate administrative, finance, and logistics systems.

Reporting on the Implementation of the National Preparedness System

Identifying and Assessing Risk and Estimating Capability Requirements

In order to qualify for EMPG funding, all recipients shall develop and maintain a THIRA, which informs and supports an annual SPR. A THIRA provides a comprehensive approach for identifying and assessing risks and associated impacts. It expands on existing local, tribal, territorial, and state Hazard Identification and Risk Assessments (HIRAs) and other risk methodologies by broadening the factors considered in the process, incorporating the whole community throughout the entire process, and by accounting for important community-specific characteristics. A guide on how to complete a THIRA is available at:

<https://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

In Step Four of the THIRA process, a jurisdiction should estimate the resources required to deliver the capability targets established in their THIRAs. Communities express resource requirements as a list of resources needed to successfully manage their threats and hazards. Through the capability estimation process, jurisdictions should identify the resources from across the whole community needed to meet capability targets. Each jurisdiction should decide which combination of resources is most appropriate to achieve its capability targets.

The SPR is an annual self-assessment of state preparedness submitted by the 56 states and territories to the FEMA. The *Post-Katrina Emergency Management Reform Act of 2006* (PKEMRA) requires an SPR from any state or territory receiving Federal preparedness assistance administered by the Department of Homeland Security.

Reporting:

- States and Territories should review and, if necessary, revise and update the THIRA on an annual basis. For FY 2017, EMPG recipients should complete THIRA, Step 4 for all Response and Recovery core capabilities, including the common core capabilities for those mission areas. States will submit their THIRA along with their SPR through the URT and email a copy of the URT to their respective FEMA Regional Federal Preparedness Coordinator and copy fema-spr@fema.dhs.gov. THIRA submissions shall be in alignment with CPG 201, Second Edition. State submissions of the THIRA and SPR are due no later than December 31 annually.

Building and Sustaining Core Capabilities

States are encouraged to prioritize grant funding for building and sustaining capabilities in areas with capability gaps identified through the THIRA and SPR process.

Reporting:

- Recipients will be required to: (1) describe how expenditures support maintenance and sustainment of Goal core capabilities, and (2) describe how expenditures support filling capability target gaps identified in the THIRA and the SPR process and report these within the quarterly performance progress reports.

NIMS Implementation

EMPG recipients are required to implement NIMS. EMPG funds may be used to meet the requirements described in the NIMS Implementation Objectives (<https://www.fema.gov/implementation-guidance-and-reporting>) and/or NIMS Training Program (<https://www.fema.gov/training-0>). NIMS defines a national, interoperable approach for sharing resources, coordinating and managing incidents, and communicating information. Incident management refers to how incidents are managed across all homeland security activities, including prevention, protection, and response, mitigation, and recovery. FY 2017 EMPG recipients must use standardized resource management concepts for resource typing, credentialing, and an inventory to facilitate the effective identification, dispatch, deployment, tracking, and recovery of resources.

Reporting

- Recipients report on NIMS implementation through the URT.

Planning to Deliver Capabilities

All EMPG recipients shall maintain or revise, as necessary, jurisdiction-wide, all threats and hazards EOPs consistent with the CPG 101v2, which serves as the foundation for state, local, tribal, and territory emergency planning. CPG 101v2 can be found at <https://www.fema.gov/media-library/assets/documents/25975>. Recipients must update their EOP at least once every two years.

In building future EOPs, planners should anticipate the increasing complexity and decreasing predictability of the future operating environment. These efforts should actively use strategic foresight, including the multiple driving forces of change and the associated evolving strategic needs shown in FEMA's *Crisis Response and Disaster Resilience 2030 Report*. The Report can be found at <http://www.fema.gov/strategic-planning-analysis-spa-division/strategic-foresight-initiative>.

Reporting

- Recipients will report EOP compliance with CPG 101v2 in the URT.

Validating Capabilities

Recipients should engage elected and appointed officials and other whole community stakeholders to identify long-term training and exercise priorities. These priorities should address

capability targets and gaps identified through the annual THIRA and SPR processes as well as areas for improvement identified in the most recent National Preparedness Report.

Recipients should document these priorities and use them to develop a schedule of exercise events and supporting training activities in a Multi-Year Training and Exercise Plan (TEP). Information related to Multi-Year TEPs and Training and Exercise Plan Workshops (TEPWs) can be found on the Homeland Security Exercise and Evaluation Program (HSEEP) website at <https://www.fema.gov/HSEEP>.

In addition to training activities aligned to and addressed in the TEP, all EMPG funded personnel shall complete *either* the Independent Study courses identified in the Professional Development Series *or* the National Emergency Management Basic Academy delivered either by the Emergency Management Institute (EMI) or at a sponsored state, local, tribal, territorial, regional or other designated location. Further information on the National Emergency Management Basic Academy and the Emergency Management Professional Program can be found at: <https://training.fema.gov/empp/>. Previous versions of the IS courses meet the NIMS training requirement. A complete list of Independent Study Program Courses may be found at <http://training.fema.gov/is>. A list of the Professional Development Series courses can be found in Appendix B.

All recipients will develop and maintain a progressive exercise program consistent with HSEEP and support of the National Exercise Program (NEP). The NEP serves as the principal exercise mechanism for examining national preparedness and measuring readiness. Recipients are strongly encouraged to nominate exercises into the NEP. For additional information on the NEP, please refer to <http://www.fema.gov/national-exercise-program>.

Recipients shall conduct no less than four quarterly exercises (i.e., one EMPG-funded exercise and/or an exercise that includes EMPG-funded personnel per quarter) of any type (i.e., discussion-based or operations-based) and one full-scale exercise within a 12-month period. The five exercises shall be linked to common program priorities and reflect a series of increasingly complex exercises with each building upon the previous one while incorporating prior lessons learned. The full-scale exercise should examine those core capabilities and associated capability targets identified in the THIRA needed to address the recipient's greatest risks. All EMPG-funded personnel shall participate in no fewer than three exercises in a 12-month period.

A progressive, multi-year exercise program enables organizations to participate in a series of increasingly complex exercises, with each successive exercise building upon the previous one while also taking into account prior lessons learned. Regardless of the exercise type, each exercise within the progressive series is linked to a set of common program priorities and designed to test associated capabilities.

Reporting:

- Recipients are required to develop a Multi-Year TEP that identifies a combination of exercises and associated training requirements that address priorities identified in the TEPW and builds from training gaps identified in the THIRA/SPR process.

The TEP shall be submitted to hseep@fema.dhs.gov 90 days after the completion of the TEPW.

- Recipients must provide a list of completed training courses and exercises and the Training and Exercise Data Table to be included in the Quarterly Performance Progress Report.
- Recipients must include the TEP percentage completion outlined in the FY 2017 EMPG Work Plan in the Quarterly Performance Progress Report.
- In order to report on the required exercises, recipients are required to submit either one After-Action Report/Improvement Plan (AAR/IP) for the culminating full-scale exercise from all five exercises conducted within a 12-month period, *or* individual AAP/IPs for each of the five exercises, to hseep@fema.dhs.gov and the appropriate Regional EMPG manager, no later than 90 days after completion of the exercise.
- Recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. Recipients are encouraged to use the HSEEP AAR/IP template located at <https://www.fema.gov/HSEEP>.

If a state, territory, or local jurisdiction has experienced a major disaster and they would like to request exemptions for a scheduled exercise, the recipient should send this request to its assigned FEMA Regional EMPG Manager through the Quarterly Performance Progress Report. Exemptions will be reviewed on a case-by-case basis by the Regional EMPG Manager.

Reviewing and Updating Planning Products

Based on the applicant's current THIRA, capability levels, resources, and plans should be reviewed on an annual basis to determine if they remain relevant or need to be updated. This review should be based on a current THIRA and utilize information gathered during the capability validation process. These reviews will provide a means to determine priorities, direct preparedness actions, and calibrate goals and objectives.

Additional considerations

Strengthening Governance Integration

DHS/FEMA preparedness grant programs are intended to support the core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response, and Recovery that are necessary to prepare for incidents that pose the greatest risk to the Nation's security. Each program reflects the Department's intent to build and sustain an integrated network of national capabilities across all levels of government and the whole community. Disparate governance structures must be integrated and refined to ensure resources are targeted to support the most critical needs of a community based on risk-driven, capabilities-based planning. Strong and inclusive governance systems better ensure that disparate funding streams are coordinated and applied for maximum impact.

DHS/FEMA requires that all governance processes that guide the allocation of preparedness grant funds adhere to the following guiding principles:

- **Coordination of Investments:** Resources must be allocated to address the most critical capability needs as identified in the SPR and coordinated among affected preparedness stakeholders.
- **Transparency:** Stakeholders must be provided visibility on how preparedness grant funds are allocated and distributed, and for what purpose.
- **Substantive Local Involvement:** The tools and processes that are used to inform the critical priorities, which DHS/FEMA grants support, must include local government representatives. At the state and regional levels, local risk assessments must be included in the overarching analysis to ensure that all threats and hazards are accounted for.
- **Flexibility with Accountability:** FEMA recognizes that unique preparedness gaps exist at the local level. However, grantees are responsible for ensuring the effective use of funds to address those gaps and for maintaining and sustaining existing capabilities.
- **Support of Regional Coordination:** Inter/intra-state partnerships and dependencies at the state and regional levels, including those within metropolitan areas, must be recognized.

Appendix B – FY 2017 EMPG Funding Guidelines

Allowable Costs

Management and Administration (M&A)

M&A activities are those defined as directly relating to the management and administration of EMPG funds, such as financial management and monitoring. It should be noted that salaries of state and local emergency managers are not typically categorized as M&A, unless the state or local EMA chooses to assign personnel to specific M&A activities.

If the SAA is not the EMA, the SAA is not eligible to retain funds for M&A. M&A costs are allowable for both state and local-level EMAs. The state EMA may use up to five percent (5%) of the EMPG award for M&A purposes. In addition, local EMAs may retain and use up to five percent (5%) of the amount received from the state for local M&A purposes.

Indirect Costs

Indirect costs are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant Federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant Federal agency) is required at the time of application, and must be provided to FEMA before indirect costs are charged to the award.

Whole Community Preparedness

EMPG funds may be used to foster preparedness of the whole community for disasters and emergencies. The following are examples of allowable costs:

- Planning to foster public-private sector partnerships, including innovation for disasters initiatives that support the mission areas identified in the Goal
- Establishing a Citizen Corps Whole Community Council that brings together representatives of the whole community to provide input on emergency operations plans, risk assessments, mitigation plans, alert and warning systems, and other plans; assist in outreach and education of community members in preparedness activities; and build volunteer capability to support disaster response and recovery
- Delivering the CERT Basic Training Course and supplemental training for CERT members who have completed the basic training, the CERT Train-the-Trainer Course, and the CERT Program Manager course (strongly encouraged)
- Information on Citizen Corps Whole Community Councils and CERT programs can be found at: <http://www.ready.gov/citizen-corps> for Citizen Corps Whole Community Councils and at <https://www.fema.gov/community-emergency-response-teams>.

In addition to the Citizen Corps Whole Community Councils and CERT programs, the following preparedness programs are allowable expenses:

- **Prepareathon:** FEMA’s Individual and Community Preparedness Division (ICPD) launched Prepareathon (formerly America’s PrepareAthon!) in 2013, with the goal of empowering individuals and communities to take action to improve their preparedness and resilience. The purpose of Prepareathon is to motivate people and communities to take action to prepare for and protect themselves against disasters. Supported by FEMA, communities conduct Prepareathon events year-round with a focus on encouraging participants to take specific actions to protect themselves from the disasters most likely to affect them and their community. Prepareathon events are unique to each community and may be aligned to a particular theme in the Ready Campaign’s National Seasonal Preparedness Messaging Calendar (www.ready.gov/prepare). Prepareathon is a critical part of FEMA’s overarching mission to support citizens and first responders to ensure that as a Nation we work together to build, sustain and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards.
- **Youth Preparedness Resources** to support practitioners as they create and run programs in their communities are available at www.ready.gov/youth-preparedness. One of these resources, the Youth Preparedness Catalog, identifies over 200 existing programs, curricula, and resources that may be of interest to those seeking an introduction to, or learning more about, youth preparedness programs. The Catalog describes national, regional, and state-level programs. The Catalog can be found at <http://www.fema.gov/media-library/assets/documents/94775>.

Planning

Planning spans all five National Preparedness Goal (the Goal) mission areas and provides a baseline for determining potential threats and hazards, required capabilities, required resources, and establishes a framework for roles and responsibilities. Planning provides a methodical way to engage the whole community in the development of a strategic, operational, and/or community-based approach to preparedness.

EMPG Program funds may be used to develop or enhance emergency management planning activities. Some examples include:

Emergency Management/Operation Plans

- Maintaining a current EOP that is aligned with guidelines set out in CPG 101v2 <https://www.fema.gov/media-library/assets/documents/25975>
- Modifying existing incident management and emergency operations plans
- Developing/enhancing large-scale and catastrophic event incident plans

Communications Plans

- Developing and updating Statewide Communication Interoperability Plans
- Developing and updating Tactical Interoperability Communications Plans

Continuity Planning

Continuity planning and operations are an inherent element of each core capability and the coordinating structures that provide them. Continuity operations increase resilience and the probability that organizations can perform essential functions in the delivery of core capabilities that support the mission areas. DHS/FEMA is responsible for coordinating the implementation and development, execution, and assessment of continuity capabilities among executive departments and agencies. To support this role, DHS/FEMA develops and promulgates Federal Continuity Directives (FCDs) to establish continuity program and planning requirements for executive departments and agencies and Continuity Guidance Circulars (CGCs) for state, local, tribal, and territorial governments, non-governmental organizations, and private sector critical infrastructure owners and operators. This direction and guidance assists in developing capabilities for continuing the essential functions of federal and state, local, tribal, territorial governmental entities as well as the public/private critical infrastructure owners, operators, and regulators enabling them.

Presidential Policy 40, FCD 1, FCD 2, CGC 1, and CGC 2 outline the overarching continuity requirements and guidance for organizations and provide guidance, methodology, and checklists. For additional information on continuity programs, guidance, and directives, visit <http://www.fema.gov/guidance-directives> and <https://www.fema.gov/national-continuity-programs>.

Allowable continuity planning activities include the development of the following:

- Continuity of operations (COOP) and Continuity of Government (COG) planning products for the continuance of essential functions and associated leadership;
- Risk-based needs assessments based on the THIRA to inform risk mitigation efforts to ensure the continuity of essential functions and associated leadership; and
- Public and private sector outreach and messaging regarding continuity resilience benefits and strategies.

Administrative Plans

- Developing/enhancing financial and administrative procedures for use before, during, and after disaster events in support of a comprehensive emergency management program

Whole Community Engagement/Planning

- Developing or enhancing mutual aid agreements/compacts, including required membership in EMAC
- Developing/enhancing emergency operations plans to integrate citizen/volunteer and other non-governmental organization resources and participation
- Integrating program design and delivery practices that ensure representation and services for under-represented, diverse populations that may be more impacted by disasters, including children, seniors, individuals with disabilities or access and functional needs, individuals with diverse culture and language use, individuals with lower economic capacity, and other underserved populations

Resource Management Planning

- Developing/enhancing logistics and resource management plans
- Developing/enhancing volunteer and/or donations management plans

Evacuation Planning

- Developing/enhancing evacuation plans, including plans for: alerts/warning, crisis communications, pre-positioning of equipment for areas potentially impacted by mass evacuations, sheltering, and re-entry.

Recovery Planning

- Disaster housing planning, such as creating/supporting a state disaster housing task force and developing/enhancing state disaster housing plans
- Pre-event response, recovery, and mitigation plans in coordination with state, local, and tribal governments
- Developing/enhancing other response and recovery plans
- Developing recovery plans and preparedness programs consistent with the principles and guidance in the National Disaster Recovery Framework (NDRF) that will provide the foundation for recovery programs and whole community partnerships.

Preparedness and pre-disaster planning was given special attention within the NDRF with specific guidance: *Planning for a Successful Disaster Recovery* (pages 63-70).

For more information on the NDRF see

<http://www.fema.gov/pdf/recoveryframework/ndrf.pdf> and

[http://www.fema.gov/media-library-data/1423604728233-](http://www.fema.gov/media-library-data/1423604728233-1d76a43cabf1209678054c0828bbe8b8/EffectiveCoordinationofRecoveryResourcesGuide020515vFNL.pdf)

[1d76a43cabf1209678054c0828bbe8b8/EffectiveCoordinationofRecoveryResourcesGuide020515vFNL.pdf](http://www.fema.gov/media-library-data/1423604728233-1d76a43cabf1209678054c0828bbe8b8/EffectiveCoordinationofRecoveryResourcesGuide020515vFNL.pdf)

Organization

Per the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended, (42 U.S.C. §§ 5121-5207), EMPG funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management, including hazard mitigation staffing of the State Hazard Mitigation Officer (SHMO) position; staffing CERT and Citizen Corps positions at the state and local levels in order to promote whole community engagement in all phases of emergency management; performing closeout activities on FEMA Disaster Assistance grants; staffing permanent technical advisors on children's needs at the state, local, tribal and territorial levels and supporting fusion center analysts who are directly involved in all-hazards preparedness activities as defined by the Stafford Act. Proposed staffing activities should be linked to accomplishing the activities outlined in the EMPG Work Plan. Recipients are encouraged to fund at least one dedicated Planner, Training Officer, and Exercise Officer.

Personnel costs, including salary, overtime, compensatory time off, and associated fringe benefits, are allowable costs with EMPG funds. These costs must comply with 2 C.F.R. Part 200, Subpart E – Cost Principles.

Federal (and Mutual Aid) Emergency Response Official (F/ERO) Credentialing and Validation

The following costs related to F/ERO credentialing and validation are allowable under EMPG:

- Working group meetings and conferences relating to emergency responder credentialing and validation
- Compiling data to enter into an emergency responder repository
- Coordinating with other state, local, territorial, and tribal partners to ensure interoperability among existing and planned credentialing and validation systems and equipment
- Planning to incorporate emergency responder identity and credential validation into training and exercises.

Equipment

Allowable equipment categories for EMPG are listed on the web-based version of the Authorized Equipment List (AEL) at <https://www.fema.gov/authorized-equipment-list>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Allowable equipment includes equipment from the following AEL categories:

- Personal Protective Equipment (PPE) (Category 1)
- Information Technology (Category 4)
- Cybersecurity Enhancement Equipment (Category 5)
- Interoperable Communications Equipment (Category 6)
- Detection Equipment (Category 7)
- Power Equipment (Category 10)
- Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Reference Materials (Category 11)
- CBRNE Incident Response Vehicles (Category 12)
- Physical Security Enhancement Equipment (Category 14)
- CBRNE Logistical Support Equipment (Category 19)
- Other Authorized Equipment (Category 21)

In addition to the above, general purpose vehicles are allowed to be procured in order to carry out the responsibilities of the EMPG. If recipients have questions concerning the eligibility of equipment not specifically addressed in the AEL, they should contact their Regional EMPG Manager for clarification.

Recipients may acquire critical emergency supplies such as: shelf stable food products, water, and/or basic medical supplies. Acquisition of critical emergency supplies requires each state to have FEMA's approval of a five-year viable inventory management plan if planned grant expenditure is over \$100,000, an effective distribution strategy, and sustainment costs for such an effort.

Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 C.F.R. Part 200, including 2 C.F.R. §§ 200.310, 200.313, and 200.316.

Controlled Equipment

Grant funds may be used for the purchase of Controlled Equipment, however, because of the nature of the equipment and the potential impact on the community, there are additional and specific requirements in order to acquire this equipment. Refer to [IB 407a](#), *Use of Grant Funds for Controlled Equipment*, for the complete *Controlled Equipment List*, information regarding the *Controlled Equipment Request Form*, and a description of the specific requirements for acquiring controlled equipment with DHS/FEMA grant funds.

Requirements for Small Unmanned Aircraft System

All requests to purchase Small Unmanned Aircraft System (SUAS) with FEMA grant funding must also include the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment. In addition, as controlled equipment, requests to purchase SUAS are subject to the requirements of [IB 407a](#), *Use of Grant Funds for Controlled Equipment*.

Training

EMPG funds may be used for a range of emergency management-related training activities to enhance the capabilities of state and local emergency management personnel through the establishment, support, conduct, and attendance of training. Training activities should align to a current, Multi-Year TEP developed through an annual TEPW and build from training gaps identified in the THIRA/SPR process. Further guidance concerning the TEP and the TEPW can be found at <http://www.fema.gov/exercise>. Training should foster the development of a community-oriented approach to emergency management that emphasizes engagement at the community level, strengthens best practices, and provides a path toward building sustainable resilience, all of which is included in the curriculum of the EMI Basic Academy. The EMI Basic Academy provides a foundational education in emergency management as a way for emergency managers to begin or advance their career. The goal of the Basic Academy is to support the early careers of emergency managers through a training experience combining knowledge of all fundamental systems, concepts and practices of cutting-edge emergency management.

EMPG funds used for training should support the nationwide implementation of NIMS. The NIMS Training Program establishes a national curriculum for NIMS and provides information on NIMS courses. Recipients are encouraged to place emphasis on the core competencies as defined in the NIMS Training Program. NIMS is also included in the curriculum of the EMI Basic Academy. The NIMS Training Program can be found at <https://www.fema.gov/training-0>. All EMPG-funded personnel shall complete and record proof of completion for the NIMS training requirements outlined in the NIMS Training Program.

The NIMS *Guideline for Credentialing of Personnel* provides guidance on the national credentialing standards. The NIMS Guidelines for Credentialing can be found at <http://www.fema.gov/nims-doctrine-supporting-guides-tools>.

Professional development series courses include:

- IS-120.a An Introduction to Exercises
- IS-230.d Fundamentals of Emergency Management
- IS-235.b Emergency Planning
- IS-240.b Leadership and Influence
- IS-241.b Decision Making and Problem Solving
- IS-242.b Effective Communication
- IS-244.b Developing and Managing Volunteers

The courses listed above are included and covered in greater depth throughout the curriculum of the EMI Basic Academy:

- E/L0101, Foundations of Emergency Management – 10 days (80 hours)
- E/L0102, Science of Disaster – 3 days (approximately 24 hours)
- E/L0103, Planning Emergency Operations – 2 days (16 hours)
- E/L0104, Exercise Design – 2 days (16 hours)
- E/L0105, Public Information and Warning – 2 days (16 hours)

Four online Independent Study courses are required as prerequisites to the classroom courses. All four must be completed before submitting an application for E/L0101:

- IS-100 (any version), Introduction to the Incident Command System (ICS) (3 hours)
- IS-700 (any version), National Incident Management System (NIMS), An Introduction (3 hours)
- IS-800.b National Response Framework, An Introduction (3 hours)
- IS-230.d Fundamentals of Emergency Management (10 hours)

To ensure the professional development of the emergency management workforce, the recipients must ensure a routine capabilities assessment is accomplished and a TEP is developed and implemented.

Additional Training Information

Per DHS/FEMA GPD Policy [FP 207-008-064-1](http://www.fema.gov/media-library/assets/documents/34856), *Review and Approval Requirements for Training Courses Funded Through Preparedness Grants*, issued on September 9, 2013, states, territories, tribal entities, and urban areas are no longer required to request approval from FEMA for personnel to attend non-DHS FEMA training as long as the training is coordinated with and approved by the state, territory, tribal, or urban area training point of contact (TPOC) and falls within the DHS/FEMA mission scope and the jurisdiction's EOP. The only exception to this policy is for Countering Violent Extremism courses. For additional information on review and approval requirements for training courses funded with preparedness grants please refer to the following policy: <http://www.fema.gov/media-library/assets/documents/34856>.

DHS/FEMA will conduct periodic reviews of all state, territory, and urban area training funded by DHS/FEMA. These reviews may include requests for all course materials and physical observation of, or participation in, the funded training. If these reviews determine that courses are outside the scope of this guidance, recipients will be asked to repay grant funds expended in support of those efforts.

For further information on developing courses using the instructional design methodology and tools that can facilitate the process, SAAs and TPOCs are encouraged to review the NTED Responder Training Development Center (RTDC) website at <https://www.firstrespondertraining.gov/rtdc/state>.

DHS/FEMA Provided Training

These trainings include programs or courses developed for and delivered by institutions and organizations funded by DHS/FEMA. This includes the Center for Domestic Preparedness (CDP), the Emergency Management Institute (EMI), and the National Training and Education Division's (NTED) training partner programs, including the Continuing Training Grants, the National Domestic Preparedness Consortium (NDPC), and the Rural Domestic Preparedness Consortium (RDPC).

Approved State and Federal Sponsored Course Catalog

This catalog lists state and Federal sponsored courses that fall within the DHS/FEMA mission scope, and have been approved through the FEMA course review and approval process. An updated version of this catalog can be accessed at <http://www.firstrespondertraining.gov>.

Training Not Provided by DHS/FEMA

These trainings include courses that are either state sponsored or federal sponsored (non-DHS/FEMA), coordinated and approved by the SAA or their designated TPOC, and fall within the DHS/FEMA mission scope to prepare state, local, tribal, and territorial personnel to prevent, protect against, mitigate, respond to, and recover from acts of terrorism or catastrophic events.

State Sponsored Courses

These courses are developed for and/or delivered by institutions or organizations other than federal entities or DHS/FEMA and are sponsored by the SAA or their designated TPOC.

Joint Training and Exercises with the Public and Private Sectors

These courses are sponsored and coordinated by private sector entities to enhance public-private partnerships for training personnel to prevent, protect against, mitigate, respond to, and recover from acts of terrorism or catastrophic events. Overtime pay for first responders and emergency managers who participate in public-private training and exercises is allowable. In addition, states, territories, tribes, and urban areas are encouraged to incorporate the private sector in government-sponsored training and exercises.

Additional information on both DHS/FEMA provided training and other Federal and state training can be found at <http://www.firstrespondertraining.gov>.

Training Information Reporting System (“Web-Forms”)

Web-Forms are an electronic form/data management system built to assist the SAA and its designated state, territory, and tribal training point of contact (TPOC). Reporting training activities through Web-Forms is not required under FY 2017 EMPG. However, the system remains available and can be accessed through the DHS/FEMA Toolkit located at <http://www.firstrespondertraining.gov/admin> in order to support recipients in their own tracking of training deliveries.

Additional types of training or training related activities include, but are not limited to, the following:

- Developing/enhancing systems to monitor training programs
- Conducting all hazards emergency management training
- Attending EMI training or delivering EMI train-the-trainer courses
- Attending other FEMA-approved emergency management training
- State-approved, locally-sponsored CERT training
- Mass evacuation training at local, state, and tribal levels

Allowable training-related costs include the following:

- **Funds Used to Develop, Deliver, and Evaluate Training:** Includes costs related to administering training, such as planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the Multi-Year TEP and addressed in the training cycle. States are encouraged to use existing training rather than developing new courses. When developing new courses, states are encouraged to apply the Analysis Design Development and Implementation Evaluation (ADDIE) model for instruction design.
- **Overtime and Backfill:** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at DHS/FEMA and/or approved training courses and programs are allowable. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or DHS/FEMA, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government *and* from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- **Travel:** Travel costs (e.g., airfare, mileage, per diem, and hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- **Hiring of Full- or Part-Time Staff or Contractors/Consultants:** Full- or part-time staff or contractors/consultants may be hired to support direct training-related activities. Payment of salaries and fringe benefits must be in accordance with the

- policies of the state or unit(s) of local government and have the approval of the state or DHS/FEMA, whichever is applicable.
- **Certification/Recertification of Instructors:** Costs associated with the certification and re-certification of instructors are allowed. States are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses which involve training of trainers.

Exercises

Allowable exercise-related costs include:

- **Funds Used to Design, Develop, Conduct and Evaluate Exercises:** This includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Recipients are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Gaps identified during an exercise, including those for children and individuals with disabilities or access and functional needs, should be identified in the After Action Report (AAR)/Improvement Plan (IP) and addressed in the exercise cycle.
- **Hiring of Full- or Part-Time Staff or Contractors/Consultants:** Full- or part-time staff may be hired to support direct exercise activities. Payment of salaries and fringe benefits must be in accordance with the policies of the state or unit(s) of local government and have the approval of the state or DHS/FEMA, whichever is applicable. The services of contractors/consultants may also be procured to support the design, development, conduct, and evaluation of exercises.
- **Overtime and Backfill:** The entire amount of overtime costs, including payments related to backfilling personnel, that are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or DHS/FEMA, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government *and* from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- **Travel:** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise activities.
- **Supplies:** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise activities (e.g., gloves, non-sterile masks, and disposable protective equipment).
- **HSEEP Implementation:** This refers to costs related to developing and maintaining an exercise program consistent with HSEEP.
- **Other Items:** These costs are limited to items consumed in direct support of exercise activities, such as space/locations rentals for planning and conducting an exercise, equipment rentals, and the procurement of other essential nondurable goods. Recipients are encouraged to use free public space/locations, whenever available,

prior to the rental of space/locations. Costs associated with inclusive practices and the provision of reasonable accommodations and modifications that facilitate full access for children and adults with disabilities are allowable.

Unauthorized exercise-related costs include:

- Reimbursement for maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles) and emergency response apparatus (e.g., fire trucks, ambulances). The only vehicle costs that are reimbursable are fuel/gasoline or mileage.
- Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs)
- Durable and nondurable goods purchased for installation and/or use beyond the scope of exercise conduct

Construction and Renovation

Construction and renovation projects for a state, local, tribal, or territorial government's principal Emergency Operations Center (EOC), as defined by the SAA are allowable under the EMPG.

Written approval must be provided by FEMA prior to the use of any EMPG funds for construction or renovation. Requests for EMPG funds for construction of an EOC must be accompanied by an EOC Investment Justification (FEMA Form 089-0-0-3; OMB Control Number 1660-0124 (http://www.fema.gov/pdf/government/grant/2011/fy11_eoc_inv.pdf)) to their Regional EMPG Manager for review. Additionally, recipients are required to submit a SF-424C Form and Budget detail citing the project costs.

When applying for funds to construct communication towers, recipients and subrecipients must submit evidence that the Federal Communication Commission's (FCC's) Section 106 review process has been completed and submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. Recipients and subrecipients are also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects, compliance with all state and EHP laws and requirements). Projects for which the recipient believes an Environmental Assessment (EA) may be needed, as defined in [DHS Instruction Manual 023-01-001-01, Revision 01, FEMA Directive 108-1 and FEMA Instruction 108-1-1](#), must also be identified to the FEMA EMPG Regional Program Manager within six months of the award, and completed EHP review materials must be submitted no later than 12 months before the end of the period of performance. EHP review packets should be sent to gpdehpinfo@fema.gov.

EMPG recipients using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. §§ 3141 *et seq.*). Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the *Davis-Bacon Act*, including Department of Labor (DOL) wage determinations, is available from the following website:

<http://www.dol.gov/compliance/laws/comp-dbra.htm>.

Maintenance and Sustainment

Use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active grant awards, unless otherwise noted.

EMPG grant funds are intended to support the Goal and fund activities and projects that build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide recipients the ability to meet this objective, the policy set forth in [GPD's IB 379](#) (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs, which must be: (1) in direct support of existing capabilities; (2) an otherwise allowable expenditure under the applicable grant program; (3) tied to one of the core capabilities in the five mission areas contained within the Goal, and (4) shareable through the EMAC. Additionally, eligible costs may also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant funding or any other source of funding other than DHS/FEMA preparedness grant program dollars. Additional guidance is provided in DHS/FEMA Policy FP 205-402-125-1, *Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants*, located at: <http://www.fema.gov/media-library/assets/documents/32474>.

Unallowable Costs

Grant funds may not be used for:

- The purchase of Prohibited Equipment. Refer to [IB 407a](#), Use of Grant Funds for Controlled Equipment, for the complete *Prohibited Equipment List*.
- Expenditures for weapons systems and ammunition
- Costs to support hiring sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities
- Activities and projects unrelated to the completion and implementation of the EMPG

Recipients should consult with their EMPG Regional Program Manager prior to making any investment that does not clearly meet the allowable expense criteria established in this Guidance.

Appendix C – FY 2017 EMPG Work Plan

EMPG Work Plan Instructions

All EMPG applicants are encouraged to use the templates to submit a required Work Plan that outlines the state's emergency management sustainment and enhancement efforts, including new and ongoing activities and projects, proposed for the EMPG period of performance. The Work Plan consists of a Program and Budget Narrative, Personnel Data Table, Training Data Table, Exercise Data Table, and Grant Activities Outline. EMPG Regional Program Managers will work closely with states to monitor Work Plans during the performance period and may request further documentation from the recipients to clarify the projected work plan. In addition, EMPG Regional Program Managers must approve final Work Plans before states may draw down EMPG funds. Grant funds will be released upon approval of the state's final Work Plan.

Program and Budget Narrative

Provide a brief description of the state emergency management priorities and initiatives that will be addressed with EMPG funds. In addition, the narrative should address the following:

- Overview of the state's risk profile resulting from the current THIRA
- Areas of need identified through assessment processes such as the SPR, Emergency Management Accreditation Program assessment process, National Emergency Communications Plan Goal Assessments, or other emergency management assessment processes
- Baseline inventory of where states are now relative to goals and objectives identified in relevant strategic plans per CPG 101v2
- State emergency management priorities and planning focus for current budget year (including linkage to the core capabilities identified in the Goal)
- Detailed Budget Narrative justifying the requested funding for the identified Work Plan activities
- Detailed description of how projects and programmatic activities support the building or sustainment of the core capabilities as outlined in the Goal

Personnel Data Table

To facilitate consistent data reporting and performance measures collection, a Personnel Data Table should be completed for state, local, tribal, and territory personnel supported with EMPG funds. This will assist in documenting the extent to which EMPG funding supports personnel at the state level. Submit this template with the EMPG Work Plan and a roster of EMPG-funded personnel. The roster of EMPG-funded personnel should be updated only if numbers change more than 10 percent during the award period of performance.

Personnel Data Table Template

Personnel Metrics	Data
EMPG funds (Federal and match) allocated towards state emergency management personnel	
EMPG funds (Federal and match) allocated towards non-state emergency management personnel (local, tribal, territories)	
Total Number of state emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG)	
Number of state emergency management full-time equivalent (FTE) personnel supported (fully or partially) by EMPG	
Total Number of state, local, tribal and territory emergency management personnel supported (fully or partially) by the EMPG	

Personnel Data Table Definitions

- Line 1 – All EMPG funds (Federal and match) allocated for state emergency management personnel
- Line 2 – All EMPG funds (Federal and match) allocated towards non-state emergency management personnel (local, tribal, territories)
- Line 3 – Total Number of state emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG)
- Line 4 – Number of state emergency management full-time equivalent (FTE) personnel supported by the EMPG
- Line 5 – Total Number of state and local emergency management personnel funded (fully or partially) by the EMPG. This number provides the "Universe" number for the training and exercise templates

Training Data Table

To facilitate consistent data reporting and performance measures collection, a Training Data Table should be completed for training courses that meet the EMPG reporting requirements. This template should reflect training activities outlined in the Multi-Year TEP and completion of EMPG training requirements. EMPG funded personnel should complete the listed training requirements and record proof of completion.

Training Data Table Template

Name of Training	EMPG Required Training? (Y/N)	Number of Personnel Trained	Total Number of SLTT EMPG Funded Personnel	Total Number of SLTT EMPG Funded Personnel that completed the Course	Training Identified in TEP (Y/N)

Training Data Table Definitions

- Column 1 – Name of Training
- Column 2 – Is the course required of EMPG-funded personnel?
- Column 3 – Number of Personnel Trained
- Column 4 – Total number of state, local, tribal, and territorial EMPG-funded personnel (Universe)
- Column 5 – Total number of state, local, tribal, and territorial EMPG-funded personnel that completed the course
- Column 6 – Is the training identified in the Multi-Year TEP?

Exercise Data Table

To facilitate consistent data reporting and performance measure collection, an Exercise Data Table should be completed for any exercises that meet EMPG requirements and/or exercises conducted in whole or part with EMPG funds. Recipients shall conduct no less than four quarterly exercises and one full-scale exercise within a 12-month period. The 5 exercises shall be linked to common program priorities and reflect a progressive exercise series of increasingly complex exercises with each building upon the previous one while incorporating prior lessons learned. The exercises should be part of the recipient’s progressive exercise program and outlined in the Multi-Year TEP. EMPG funded personnel shall participate in no less than three exercises.

Exercise Data Table Template

Name/ Description of Exercise	Date Exercise Scheduled/ Completed	Type of Exercise	Total Number of SLTT EMPG Funded Personnel	Number of SLTT EMPG Funded Personnel Participating in Exercise

Exercise Data Table Definitions:

- Column 1 – Name/Description of Exercise
- Column 2 – Date of exercise
- Column 3 – Type of exercise (e.g., seminar, workshop, tabletop, games, drills, functional, and/or full-scale)
- Column 4 – Total number of state, local, tribal, and territorial EMPG-funded personnel (Universe)
- Column 5 – Total number of state, local, tribal, and territorial EMPG-funded personnel participating in exercise

Grant Activities Outline

To facilitate performance measures and focus on outcomes, an EMPG Grant Activities Outline should be completed for activities supported with FY 2017 EMPG funds (including construction and renovation projects). The data outlined in this template will be used to evaluate the timely completion of planned emergency management activities. Recipients are encouraged to complete a separate Grant Activities Outline for each Emergency Management Function (EMF). Quarterly training activities should be reported against EMF #13, “Training,” and quarterly exercise activities should be reported against EMF #14, “Exercises, Evaluations and Corrective Actions.”

Recipients should complete a template as shown on the next page and address the following areas:

- **EMF Number:** Identify how the grant activities relate to the EMFs outlined in the September 2013 version of the Emergency Management Accreditation Program (EMAP) Standard (e.g. Resource Management, Communications and Warning, etc.) The link to the EMAP 2013 Standard is at: <http://www.emap.org/index.php/what-is-emap/the-emergency-management-standard>.
- **Name of Planned Project:** Provide a descriptive name of each planned project. Examples include “Development of Emergency Function Annexes”, “Development of Earthquake Scenario Loss Estimations”, “Implementation of Statewide Interoperability Plan”, “NIMS Training for Emergency Management Personnel”, “Development of Emergency Preparedness Plan for Individuals with Disabilities”, etc.
- **Project Objective:** Briefly explain the major objective of the project, including how the project will address gaps identified through various assessments conducted.
- **Core Capability Addressed:** Briefly describe which of the 32 core capabilities (multiple can be selected) the project addresses.
- **Performance Measure and Basis of Evaluation:** Indicate the performance measure that will be used to evaluate this project.
- **Challenges/Risks:** Identify any challenges to implementing this project or any of its activities.
- **Quarterly Activity:** Break each project down into quarterly activities. For each quarter, briefly identify the activities that will accomplish the planned project. This information will provide the foundation for the second component of the Quarterly Performance Progress Report.
- **Step:** Provide the status of planned quarterly activities (Initiate, Plan, Execute, Control, and Closeout).

- **Comments:** Briefly describe the reason for the project status and provide other comments as needed. Include the number of training sessions funded and the number of personnel trained in this section.

Grant Activities Outline - Template

Name of Planned Project:			
Project Objective:			
Core Capabilities Addressed:			
Performance Measure and Basis of Evaluation:			
Challenges/Risks:			
1 st Quarter Activity	Planned Activities:	Step:	Comments:
2 nd Quarter Activity	Planned Activities:	Step:	Comments:
3 rd Quarter Activity	Planned Activities:	Step:	Comments:
4 th Quarter Activity	Planned Activities:	Step:	Comments:
5 th Quarter Activity	Planned Activities:	Step:	Comments:
6 th Quarter Activity	Planned Activities:	Step:	Comments:
7 th Quarter Activity	Planned Activities:	Step:	Comments:
8 th Quarter Activity	Planned Activities:	Step:	Comments:

Project Management Lifecycle

Steps	Description	Process
Initiate	The authorization to begin work or resume work on any particular activity.	Involves preparing for, assembling resources and getting work started. May apply to any level, e.g. program, project, phase, activity, task.
Plan	The purposes of establishing, at an early date, the parameters of the project that is going to be worked on as well as to try to delineate any specifics and/or any peculiarities to the project as a whole and/or any specific phases of the project.	Involves working out and extending the theoretical, practical, and/or useful application of an idea, concept, or preliminary design. This also involves a plan for moving a project concept to a viable project.
Execute	The period within the project lifecycle during which the actual work of creating the project's deliverables is carried out.	Involves directing, accomplishing, managing, and completing all phases and aspects of work for a given project.
Control	A mechanism which reacts to the current project status in order to ensure accomplishment of project objectives. This involves planning, measuring, monitoring, and taking corrective action based on the results of the monitoring.	Involves exercising corrective action as necessary to yield a required outcome consequent upon monitoring performance. Or, the process of comparing actual performance with planned performance, analyzing variances, evaluating possible alternatives, and taking appropriate correct action as needed.
Close Out	The completion of all work on a project. Can also refer to completion of a phase of the project.	Involves formally terminating and concluding all tasks, activities, and component parts of a particular project, or phase of a project.